

**PUBLIC HEARING AGENDA  
DEFINITION OF FIDUCIARY – INVESTMENT ADVICE**

**March 1, 2011**

TESTIMONIES:

TIME:

OPENING REMARKS – INTRODUCTION OF PANEL

9:00 A.M.

**PANEL 1**

9:15 A.M.

Pension Rights Center  
Norman Stein

JP Morgan  
Karen Prange

Financial Engines  
Anne Tuttle

**PANEL 2**

10:15 A.M.

National Employment Lawyers Assoc.  
Marc Machiz

Great-West Retirement Services  
Charles Nelson

SIFMA  
Ken Bentsen

**PANEL 3**

11:15 A.M.

AARP  
David Certner

NEPC  
Ross Bremen

American Benefits Council  
Kent Mason

**LUNCH**

12:15 P.M.

**PANEL 4**

1:15 P.M.

AFL-CIO  
Karin S. Feldman

Morgan Stanley  
Jim McCarthy

Group of Financial Institutions and Service Providers  
Stephen Saxon

**PANEL 5**

2:15 P.M.

AON Hewitt  
Alison Borland  
Ted Novy

Defined Contribution Institutional Investment Assoc.  
Marla Kreindler

Insured Retirement Institute  
Theresa Atanasio

**PANEL 6**

3:15 P.M.

Profit Sharing / 401k Council of America  
Ed Ferrigno

American Council of Life Insurers  
Tom Roberts

SPARK  
Larry Goldbrum

**PANEL 7**

4:15 P.M.

ASPPA  
Brian Graff

Investment Company Institute  
Paul Schott Stevens

Fidelity  
John Sweeney

**Adjourn For First Day**

**March 2, 2011**

TESTIMONIES:

TIME:

REVIEW OF PROCEDURES – INTRODUCTION OF PANEL

9:00 A.M.

**PANEL 8**

9:15 A.M.

The ESOP Association  
Laurence Goldberg

Employee-Owned S-Corp of America  
Linda Carlisle

AICPA  
Robert Riley

**PANEL 9**

10:15 A.M.

American Society of Appraisers  
Donna Walker

Larry R. Cook Associates / Loren D Stark Co. /  
The Financial Consulting Group  
Larry R. Cook

Firms that Provide Valuations and Fairness Opinions  
Jeffrey Tarbell

**PANEL 10**

11:15 A.M.

Davis & Harman  
Randolf Hardock

Managed Funds Association  
Stuart J. Kaswell

Retirement Industry Trust Assoc.  
Tom Anderson

**LUNCH**

12:15 P.M.

**PANEL 11**

1:15 P.M.

Financial Services Institute

Primerica  
John Watts  
Peter Schneider

Financial Services Roundtable  
Brian Tate

**PANEL 12**

2:15 P.M.

Real Estate Appraisal Coalition  
Jennifer Eller

Center on Executive Compensation  
Charles Tharp

Competitive Enterprise Institute  
Vincent Vernuccio

**PANEL 13**

3:15 P.M.

National Retiree Legislative Network  
Marta Bascom

Charles Yokum  
Justin Tomevi

**CLOSING REMARKS**